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P077WOUS

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1.	Examiner A. Smith	USPTO	571/272-3298	571/273-0459
2.				
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Message

Supplemental Declaration filing per our conversation on January 30, 2008 for Application No. 10/575,352.

If any transmission problems, please call: 713.650.2402

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ATTORNEY DOCKET NO.
11321-P077WOUS

PATENT
Serial No. 10/575,352

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of: Richard E. Smalley, Deceased, et al.
Serial No: 10/575,352
International App'l No: PCI/US2004/34002
Int'l Filing Date: October 14, 2005
Group Art Unit: Unknown
Confirmation No: 9439
Title: Amplification of Carbon Nanotubes Via Seeded-Growth Methods

Mail Stop PCT
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir:

RENEWED SUBMISSION UNDER 37 CFR 1.42

In response to the Decision on Papers Under 37 CFR 1.42 with the mail date of June 11, 2007, with two-months to provide a response ending on August 11, 2007, Applicant encloses the following documents:

1. Declaration in compliance under 37 CFR 1.497(a)-(b) executed by Irene M. Marek, legal representative of deceased inventor Richard B. Smalley;
2. Supplemental Declaration Under 37 CFR 1.42 executed by Irene M. Marek;
and
3. A copy of the Decision on Papers Under 37 CFR 1.42;

ATTORNEY DOCKET NO.
11321-P077WOUS

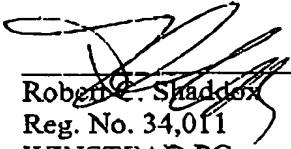
PATENT
Serial No. 10/575,352

Applicant does not believe there are any fees due at this time; however, if there any fees required, Commissioner is hereby authorized to charge any fees relating to this filing to the Winstead Sechrest & Minick P.C. Deposit Account No. 23-2426. Any questions regarding this filing should be directed to the attorney below.

Dated:

Respectfully submitted,

8/13/07


Robert E. Shaddox
Reg. No. 34,011
WINSTEAD PC
P.O. Box 50784
Dallas, TX 75201
Tel (713) 650-2764
Fax (214) 745-5390

ATTORNEY FOR APPLICANTS

CERTIFICATE OF TRANSMISSION OR MAILING UNDER 37 C.F.R. § 1.10

I hereby certify that the attached *Response to Notice Notification of Missing Requirements* is being filed electronically with the United States Patent and Trademark Office via EFS-Web on the date below:

August 13, 2007
Date


Signature

928121v.1 11321/P077WOUS



UNITED STATES PATENT AND TRADEMARK OFFICE

Commissioner for Patents
United States Patent and Trademark Office
P.O. Box 1450
Alexandria, VA 22313-1450
www.uspto.gov

11 JUN 2007

RECEIVED ON

JUN 15 2007

Ross Spencer Garsson
Winstead Sechrest & Minick P.C.
P.O. Box 50784
Dallas, Texas 75201

BY WINSTEAD

DECIDED ON

JUN 18 2007

By. MMT

In re Application of
SMALLEY et al.
Application No.: 10/575,352
PCT No.: PCT/US04/34002
Int. Filing Date: 14 October 2004
Priority Date: 14 October 2003
Attorney Docket No.: 11321P077WOUS
For: AMPLIFICATION OF CARBON
NANOTUBES VIA SEEDED-GROWTH
METHODS

DECISION ON
PAPERS UNDER 37 CFR 1.42

This decision is issued in response to the declaration filed 19 April 2007 which is being treated as a request under 37 CFR 1.42. No petition fee is required.

BACKGROUND

On 14 October 2004, applicants filed the above-identified international application which claimed a priority date of 14 October 2003. Pursuant to 37 CFR 1.495 the deadline for payment of the basic national fee was to expire 30 months from the priority date, 14 April 2006.

On 11 April 2006, applicants filed a transmittal letter for entry into the national stage in the United States accompanied, inter alia, by: the basic national fee; a copy of the international application; and a preliminary amendment.

On 19 April 2007, applicants filed a declaration executed by twelve of the thirteen inventors and Irene M. Marek, on behalf of deceased inventor, Richard E. Smalley.

DISCUSSION

37 CFR 1.42 *When the Inventor is Dead*, states, in part:

In case of the death of the inventor, the legal representative (executor administrator, etc.) of the deceased inventor may make the necessary oath or declaration, and apply for and obtain the patent.

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The declaration filed on 19 April 2007 is executed by twelve of the thirteen inventors and Irene M. Marek as the "legal representative" of the deceased inventor, Richard E. Smalley. The declaration submitted appears to have been executed by the proper party under 37 CFR 1.42, however, the declaration does not satisfy the requirements under 37 CFR 1.497(b)(2).

37 CFR 1.497(b)(2) states the following:

(2) If the person making the oath or declaration or any supplemental oath or declaration is not the inventor (§§ 1.42, 1.43, or § 1.47) the oath or declaration shall state the relationship of the person to the inventor, and, upon information and belief, the facts which the inventor would have been required to state. If the person signing is the legal representative of a deceased inventor, the oath or declaration shall also state that the person is a legal representative and the citizenship, residence, and mailing address of the legal representative.

Pursuant to 37 CFR 1.497(b)(2), in addition to the citizenship and former residence and post office address of the deceased inventor referenced under 37 CFR 1.497(a)(3) and 37 CFR 1.63, the declaration must also provide name, residence, citizenship, and post office address for the legal representative. In this case, the declaration filed on 19 April 2007 provides the residence, citizenship, and post office address for only one individual and it is unclear whether this information is for the legal representative or the deceased inventor. Accordingly, the declaration is not in compliance with 37 CFR 1.497(b)(2).

Additionally, the declaration is not in compliance with 37 CFR 1.497(a)-(b) in that it gives the impression that Irene M. Marek is the first or sole inventor for the present application. A compliant declaration under 37 CFR 1.497(a)-(b) would identify the inventors as they appear in the published International Application. In order to proceed under 37 CFR 1.42, applicant must provide a declaration that: (1) properly identifies the inventors; (2) sets forth the residence, post office address and country of citizenship for both the deceased co-inventor, Richard E. Smalley and the legal representative, Irene M. Marek; and (3) states the relationship (i.e. legal representative or sole heirs) of Irene M. Marek to the deceased inventor.

CONCLUSION

For the above reasons, the request for status under 37 CFR 1.42 is **REFUSED**.

Applicants are required to provide an oath/declaration in compliance with 37 CFR 1.497(a)-(b) within **TWO (2) MONTHS** from the mail date of this Decision. Failure to respond will result in the abandonment of the application. Any reconsideration request should include a cover letter entitled "Renewed Submission Under 37 CFR 1.42" and must include an acceptable declaration under 37 CFR 1.497 which has been executed by the

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either the legal representative of the deceased inventor or, if no legal representative has been appointed, all of the heirs of the deceased inventor.

Any further correspondence with respect to this matter should be addressed to:
Mail Stop PCT, Commissioner for Patents, Office of PCT Legal Administration, P.O. Box
1450, Alexandria, Virginia 22313-1450, with the contents of the letter marked to the
attention of the Office of PCT Legal Administration.



Anthony Smith
Attorney-Advisor
Office of PCT Legal Administration
Tel: (571) 272-3298
Fax: (571) 273-0459

**SUPPLEMENTAL DECLARATION UNDER 37 C.F.R. § 1.42
FOR SIGNING BY LEGAL REPRESENTATIVE ON
BEHALF OF DECEASED INVENTOR**

I, Irene M. Marek, hereby declare that I am a citizen of the United States, residing at 3 Stagestop Circle, Houston, Texas 77024. I further declare that I have been appointed as a legal representative of Richard E. Smalley, who passed away on October 28, 2005, as I am named as executrix in his will. Upon information and belief, I aver those facts that he is required to state in order to apply for a patent or allowance of any patent application in which he is listed as an inventor. Further, it is my understanding that this patent application in which Richard E. Smalley is listed as an inventor is to be assigned to Rice University, his employer since 1976, pursuant to the Rice University Policy.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true, and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under §1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Date: 8/10/07

Irene M. Marek

Irene M. Marek

Legal Representative of Richard E. Smalley

Houston_1\924196\1
11321-P077WOUS 7/24/2007

PTO/SB/01 (07-06)

Approved for use through 01/31/2007. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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**DECLARATION FOR UTILITY OR
DESIGN
PATENT APPLICATION
(37 CFR 1.63)**☐ Declaration
Submitted
With Initial
Filing

OR

☒ Declaration
Submitted after Initial
Filing (surcharge
(37 CFR 1.16 (e))
required)Attorney Docket
Number

11321-P077WOUS

First Named Inventor

RICHARD E. SMALLEY ET AL.

COMPLETE IF KNOWN

Application Number

10/575,352

Filing Date

OCTOBER 14, 2004

Art Unit

UNKNOWN

Examiner Name

UNKNOWN

I hereby declare that:

Each inventor's residence, mailing address, and citizenship are as stated below next to their name.

I believe the inventor(s) named below to be the original and first inventor(s) of the subject matter which is claimed and for which a patent is sought on the invention entitled:

AMPLIFICATION OF CARBON NANOTUBES VIA SEEDED-GROWTH METHODS

(Title of the Invention)

the specification of which

☐ is attached hereto

OR

☒ was filed on (MM/DD/YYYY)

October 14, 2004

as United States Application Number or PCT International

Application Number

PCT/US2004/34002

and was amended on (MM/DD/YYYY)

(if applicable).

I hereby state that I have reviewed and understood the contents of the above identified specification, including the claims, as amended by any amendment specifically referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR 1.56, including for continuation-in-part applications, material information which became available between the filing date of the prior application and the national or PCT international filing date of the continuation-in-part application.

I hereby claim foreign priority benefits under 35 U.S.C. 119(a)-(d) or (f), or 365(b) of any foreign application(s) for patent, inventor's or plant breeder's rights certificate(s), or 365(a) of any PCT international application which designated at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent, inventor's or plant breeder's rights certificate(s), or any PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application Number(s)	Country	Foreign Filing Date (MM/DD/YYYY)	Priority Not Claimed	Certified Copy Attached? YES	NO
N/A			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
			<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

☐ Additional foreign application number(s) are listed on a supplemental priority data sheet PTO/SB/01/13 attached hereto.

[Page 1 of 2]

This collection of information is required by 35 U.S.C. 111 and 37 CFR 1.63. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 21 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance completing the form, call 1-800-PTO-9199 and select option 2.

PTO/SB/01 (07-06)

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DECLARATION — Utility or Design Patent Application

Direct all correspondence to:	<input checked="" type="checkbox"/>	The address associated with Customer Number:	61060	OR	<input type="checkbox"/>	Correspondence address below
Name						
Address						
City			State		ZIP	
Country		Telephone		Email		
WARNING:						
<p>Petitioner/applicant is cautioned to avoid submitting personal information in documents filed in a patent application that may contribute to identity theft. Personal information such as social security numbers, bank account numbers, or credit card numbers (other than a check or credit card authorization form PTO-2038 submitted for payment purposes) is never required by the USPTO to support a petition or an application. If this type of personal information is included in documents submitted to the USPTO, petitioners/applicants should consider redacting such personal information from the documents before submitting them to the USPTO. Petitioner/applicant is advised that the record of a patent application is available to the public after publication of the application (unless a non-publication request in compliance with 37 CFR 1.213(a) is made in the application) or issuance of a patent. Furthermore, the record from an abandoned application may also be available to the public if the application is referenced in a published application or an issued patent (see 37 CFR 1.14). Checks and credit card authorization forms PTO-2038 submitted for payment purposes are not retained in the application file and therefore are not publicly available.</p> <p>I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under 18 U.S.C. 1001 and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.</p>						
NAME OF SOLE OR FIRST INVENTOR:				<input type="checkbox"/> A petition has been filed for this unsigned inventor		
Given Name (first and middle (if any))				Family Name or Surname		
Richard E.				Smalley, Deceased		
Inventor's Signature					Date	
<i>Shane M. Truack, Executor of the Estate of Smalley</i>					<i>8/10/07</i>	
Residence: City		State		Country		Citizenship
Houston		TX		US		US
Mailing Address						
1816 Bolsover Street						
City		State		Zip		Country
Houston		TX		77005		US
<input checked="" type="checkbox"/> Additional inventors or a legal representative are being named on the 4 supplemental sheet(s) PTO/SB/02A or 02LR attached hereto.						

PTO/S 1102A (07-06)

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DECLARATION	ADDITIONAL INVENTOR(S) Supplemental Sheet
	Page <u>3</u> of <u>6</u>

Name of Additional Joint Inventor, if any:				<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name (first and middle (if any))				Family Name or Surname			
Robert H.				Hauge			
Inventor's Signature <i>R. Hauge</i>				Date <u>3/12/2007</u>			
Houston Residence: City		TX State		US Country		US Citizenship	
4031 Turnberry Circle							
Mailing Address							
Houston City		TX State		77025 Zip		US Country	
Name of Additional Joint Inventor, if any:				<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name (first and middle (if any))				Family Name or Surname			
Andrew E. R.				Barron			
Inventor's Signature <i>AB</i>				Date <u>2/15/07</u>			
Houston Residence: City		TX State		US Country		US Citizenship	
241 Ashbury							
Mailing Address							
Houston City		TX State		77007 Zip		US Country	
Name of Additional Joint Inventor, if any:				<input type="checkbox"/> A petition has been filed for this unsigned inventor			
Given Name (first and middle (if any))				Family Name or Surname			
James M.				Tour			
Inventor's Signature <i>[Signature]</i>				Date <u>2/15/07</u>			
Bellatre Residence: City		TX State		US Country		US Citizenship	
4625 Spruce Street							
Mailing Address							
Bellatre City		TX State		77401 Zip		US Country	

This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 21 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEE! OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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DECLARATION**ADDITIONAL INVENTOR(S)**
Supplemental Sheet

Page 4 of 6

Name of Additional Joint Inventor, If any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Howard K.		Schmidt	
Inventor's Signature <i>Howard K. Schmidt</i>		Date <i>2/7/07</i>	
Cypress Residence: City	TX State	US Country	US Citizenship
20702 Bradford Creek Court			
Mailing Address			
Cypress City	TX State	77433 Zip	US Country
Name of Additional Joint Inventor, If any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
W. Edward		Billups	
Inventor's Signature <i>W. Edward Billups</i>		Date <i>12/20/06</i>	
Houston Residence: City	TX State	US Country	US Citizenship
6416 Rutgers			
Mailing Address			
Houston City	TX State	77005 Zip	US Country
Name of Additional Joint Inventor, If any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Christopher A.		Dyke	
Inventor's Signature <i>[Signature]</i>		Date <i>2-15-2007</i>	
Humble Residence: City	TX State	US Country	US Citizenship
19811 Spoonwood Drive			
Mailing Address			
Humble City	TX State	77346 Zip	US Country

This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 21 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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DECLARATION	ADDITIONAL INVENTOR(S) Supplemental Sheet
Page <u>5</u> of <u>6</u>	

Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Valerie C.		Moore	
Inventor's Signature		Date <u>03-19-2007</u>	
Houston Residence: City	TX State	US Country	US Citizenship
2255 Braeswood Park Dr., No. 139			
Mailing Address			
Houston City	TX State	77030 Zip	US Country
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Elizabeth		Whitsett	
Inventor's Signature		Date <u>10/4/07</u>	
Houston Residence: City	TX State	US Country	US Citizenship
806 LaMonte Lane			
Mailing Address			
Houston City	TX State	77018 Zip	US Country
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Robin E.		Anderson	
Inventor's Signature		Date <u>13Apr07</u>	
Toronto Residence: City	Ontario State	CA Country	US Citizenship
100 Gloucester St., Apt. 803			
Mailing Address			
Toronto City	ON State	M4Y1M1 Zip	CA Country

This collection of information is required by 35 U.S.C. 111 and 37 CFR 1.83. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 21 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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DECLARATION

ADDITIONAL INVENTOR(S)
Supplemental Sheet

Page 6 of 6

Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Ramon		Colorado, Jr.	
Inventor's Signature <i>Ramon L. Colorado, Jr.</i>		Date 4/15/07	
Houston Residence: City	TX State	US Country	US Citizenship
5104 Irving Way			
Mailing Address			
Houston City	TX State	77037-3629 Zip	US Country
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Michael P.		Stewart	
Inventor's Signature <i>Michael P. Stewart</i>		Date 31-Jan-07	
Mountain View Residence: City	CA State	US Country	US Citizenship
392 N. Rongstorff Ave., Apt. 2			
Mailing Address			
Mountain View City	CA State	94043 Zip	US Country
Name of Additional Joint Inventor, if any:		<input type="checkbox"/> A petition has been filed for this unsigned inventor	
Given Name (first and middle (if any))		Family Name or Surname	
Douglas C.		Ogryn	
Inventor's Signature <i>Douglas C. Ogryn</i>		Date 3-14-07	
Houston Residence: City	TX State	US Country	US Citizenship
2825 Bellefontaine, No. 240A			
Mailing Address			
Houston City	TX State	77025 Zip	US Country

This collection of information is required by 35 U.S.C. 115 and 37 CFR 1.63. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 21 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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